

# Indiana Economic Development Corporation

*Announcement 2009-1*

## Indiana **SBIR/STTR** Commercialization Enhancement Program (*ISCEP*)

### Request for Proposals (RFP)

- RFP Released – 6/13/08
- Proposal Due – 7/25/08 on or before 3PM to

IEDC – SBIR Office

32 E. Main St.

Bloomfield, IN 47424

or electronically to: [SBIR@iedc.in.gov](mailto:SBIR@iedc.in.gov)



This Request for Proposals (RFP) is being issued by the IEDC SBIR/STTR Initiative Program Office, a component of the Small Business and Entrepreneurship Division of the Indiana Economic Development Corporation (the "IEDC"), to announce the opportunity for awards under the Indiana SBIR/STTR Commercialization Enhancement Program (the "ISCEP"). These awards will be made through the Indiana 21<sup>st</sup> Century Research and Technology Fund.

ISCEP is intended to assist Indiana Phase II recipients with the commercialization of their SBIR/STTR developed technology.

**The funding decisions of the IEDC are final. All applicants will be notified in writing of the outcome of their application.<sup>1</sup>**

## RFP SUMMARY:

ISCEP provides funds to enhance commercialization activities of Indiana-based SBIR/STTR awardees. Proposals will be accepted from an Indiana-based small business that has received a Federal Phase II SBIR or STTR, that is active at time of submission, and that has expended **at least 50%** of the Federal program dollars under the Phase II award prior to submission of a proposal in response to this RFP. The award maximum is \$350,000. Only one award will be processed per applicant company per review round. Review considers both the technology development stage and the related business plan. The final stage of review involves a presentation to the IEDC.

- Release Date - **6/13/08**
- Proposal Due - on or before **3:00 PM on 7/25/08** and may be submitted electronically (preferred) to: [SBIR@iedc.in.gov](mailto:SBIR@iedc.in.gov). Alternatively, hard copies may be submitted to:

IEDC SBIR Program Office  
32 E. Main St.  
Bloomfield, IN 47424

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<sup>1</sup> The IEDC reserves the right to fund any proposal in full, or in part; to request additional information to assist in the review process; to require new proposals from interested parties; to reject any or all proposals responding to this RFP; or, to re-issue the RFP if it determines that it is in the best interest of the State of Indiana. Issuing this RFP does not bind the IEDC to make an award. The IEDC SBIR Program Office administers and manages this RFP and reserves the right to adjust the dates for whatever reason it deems appropriate.

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## **INTRODUCTION:**

The Federal **S**mall **B**usiness **I**nnovation **R**esearch/**S**mall Business **T**echnology **T**Ransfer (SBIR/STTR) programs are highly competitive three-phase award programs providing qualified small businesses with opportunities to meet specific research and development (R&D) objectives of the Federal government. This Federal program sets aside approximately \$2.5 billion dollars for small business-based research and commercialization activities annually.

The IEDC SBIR/STTR Initiative has been created by the IEDC to be the primary provider of assistance to Indiana Small Businesses interested in pursuing SBIR and STTR funding. Services provided by the IEDC SBIR/STTR Program Office include:

- Proposal Assistance
- Topic/ Opportunity matching
- Proposal Reviews
- Technical Reviews
- Educational Workshops/Seminars
- E-newsletter notifications
- Phase I Matching program, in conjunction with the 21 Fund
- Phase I Match Support Letters
- ISCEP (this RFP)

The goal of the ISCEP Initiative is to support commercial outcomes of technological innovation in Indiana to build a strong Indiana SBIR/STTR community...one business at a time.

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## **ISCEP OVERVIEW:**

The Indiana SBIR/STTR Commercialization Enhancement Program (ISCEP) has been established by the IEDC to support the commercialization of new products and services created through SBIR and STTR research and development projects. While Phase II SBIR and STTR awards are designed to develop commercial prototypes of products employing advanced technologies, neither of these programs allows small businesses to recover certain types of costs associated with commercializing or protecting their technologies. Hence, the ISCEP is designed

to provide such commercialization costs and to otherwise reduce the time-to-commercial-market of SBIR/STTR developed technologies.

ISCEP awards are intended to enhance the likelihood of successful commercialization of new products and services resulting from SBIR/STTR program-supported research and development. Specific ISCEP goals include:

- Support of thoughtfully structured commercialization plans of SBIR/STTR Phase II awardees
- Accelerate and enhance commercial impacts of SBIR/STTR technologies, and
- Establish and enhance successful technology-based businesses in Indiana

Proposals are solicited for projects involving an active Phase II contract/grant with a Federal Agency. The proposal must outline how the ISCEP funds will be used to accelerate commercialization activities including, but not limited to the following:

- Intellectual Property (IP) Protection
- Market Analysis
- Business Development
- Cost Engineering
- Manufacturing Planning
- Sourcing of Materials, Systems or Other Partners

Eligible applicants for the ISCEP awards must have a principal place of business in Indiana and the benefits from commercialization must accrue to an Indiana small business. Applicants must be a small business that has received a Federal Phase II SBIR or STTR that is active at time of ISCEP submission and **at least 50%** of the Federal program dollars must be expended prior to submission of a proposal in response to this RFP, because an essential metric used in judging suitability for an award will involve assessing current progress toward achievement of Phase II objectives. The technology being commercialized must be directly related to the technology funded under the SBIR or STTR Phase II award. There is no limit as to the number of proposals that a single company can submit. However, only one award per company will be made per RFP cycle.

The ISCEP will receive allocation of approximately \$1 Million to apply to the current funding cycle. This RFP process will be repeated every six months. Between two and four awards of up to \$350,000 may be made per funding cycle. The awards will be made with performance periods

of up to 2 years and are contingent on the availability of funds.

Successful applicants must adhere to specific reporting requirements, including: quarterly progress reports, annual reports, annual site visits and a final report.

All ISCEP RFP's will be published on the IEDC's website (<http://www.iedc.in.gov>).

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## **SUBMISSION PROCESS:**

*Prior to submitting a proposal to the IEDC, we recommend that you familiarize yourself with the material in this RFP. Applicants must comply with ALL the requirements stated. There will be NO opportunity to correct mistakes or deficiencies in proposals after the submission deadline. Applications determined to be non-compliant will not be reviewed.*

## **PROPOSAL CONTENT REQUIREMENTS:**

Applicants must submit a proposal document with the following components in adherence to specified content and format requirements:

**Application Information Page:** This is a form (format attached) that should be attached to the front of your application. It requests general contact and project information. *The application information page will NOT count toward the overall page limit.*

**Executive Summary:** The executive summary should briefly describe the technological basis of the opportunity, the current state of the art, and the nature of the market opportunity. This section should contain an overview of the proposed project. *The executive summary should be no longer than 1 page.*

**Proposal Narrative:** The proposal narrative should address all the following items:

- **Project Roadmap:** Describe your project goals and objectives. Describe the current status of your technology development, both in terms of technology and business goals. Discuss the technology development activities that are involved in reaching those goals. You must discuss your technology development plan in detail.
- **Intellectual Property:** Characterize your intellectual property and its management.

Patents crucial to your project should be provided as appendix material. Agreements and licenses of IP relevant to your proposal should be provided or discussed in detail. *Pages associated with patents and license agreements provided as appendix materials will NOT count toward the overall page limit.*

- **Project Team/Facilities:** Describe key personnel and facilities. Describe the responsibilities of these key persons in the proposed project. Include one-page CVs for key personnel in an appendix. *Pages associated with CVs provided as appendix materials will NOT count toward the overall page limit.*

*The proposal narrative should be no longer than 12 pages.*

**Commercialization Plan:** Describe your plan for moving your product to market, the business-development challenges you must overcome, and the time-to-commercial-impact. *The commercialization plan should be no longer than 6 pages.*

**Budget:** The budget section consists of a budget form (format attached) and a budget narrative. In the budget narrative: Describe the funds required for the duration of the project. Estimate the development costs incurred to reach this stage. Estimate the costs other than those you are requesting from the IEDC and describe how those costs will be financed. Identify additional financial resources being utilized/provided. The budget should be organized to show costs provided by the SBIR/STTR Phase II award and, separately, costs to be provided by ISCEP. *The budget form will NOT count toward the overall page limit. The budget narrative should be no longer than 3 pages.*

**Economic Impact:** Describe the potential impact of this project on the Indiana economy. Specify the number and types of jobs expected to be created as a result of the project. Estimate job creation vs. time. *The economic impact section should be no longer than 3 pages.*

## REQUIRED APPENDIX MATERIALS:

The following materials must be included but does not count toward the overall page limit:

- Application Information Form as described above (format attached)
- Budget Form as described above (format attached)
- A copy of the last invoice or supporting documentation of funding status with the Phase II awarding Agency
- A copy of the front page (signature page) of the contract/grant with Phase II awarding

Agency

- A completed W-9 and ACH form, if needed (format attached)

GENERAL FORMATTING REQUIREMENTS:

- Pages must be numbered consecutively
- The title and company name must appear on the top of all pages
- A font no smaller than 11pt. may be used
- **All submissions are limited to a 25-page maximum**

PROPOSAL SUBMISSION:

Electronic submissions are preferred and can be sent to [SBIR@iedc.in.gov](mailto:SBIR@iedc.in.gov). Alternatively, hard copies may be submitted to the IEDC SBIR Program Office located at:

IEDC SBIR Program Office  
32 E. Main St.  
Bloomfield, IN 47424

Proposals must be submitted no later than **3:00 PM on 7/25/08**.

*It is the responsibility of the applicant to ensure that all components of the proposal are received. Late proposals will not be reviewed for this round but held for next published RFP.*

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**REVIEW PROCESS & EVALUATION CRITERIA:**

Review of proposals to the ISCEP will occur in three (3) review stages as follows:

REVIEW STAGE 1 – FORMATTING/REQUIREMENTS REVIEW:

IEDC SBIR/STTR Initiative Program Office Staff review proposals for their adherence to the formatting requirements explained in this RFP. Proposals must follow all formatting instructions listed in this RFP and include all proposal components requested. Failure to meet those requirements will result in disqualification.



## REVIEW STAGE 2 – BUSINESS/CRITERIA REVIEW:

Proposals passing the Formatting/Administrative Review will enter the Business/Criteria Review. This stage of review is conducted by a panel composed of IEDC staff. The panel will review proposals based on the evaluation criteria listed below. Evaluation criteria are listed in order of importance.

### ➤ **ECONOMIC BENEFIT AND VALUE TO INDIANA**

The project must have a high probability of strengthening Indiana's economy by creating jobs, product sales, investment or business opportunities. The proposed project must have a high probability of moving an SBIR/STTR developed technology through the multiple phases of commercialization. The project should have sufficient commercial potential to stimulate interest by investors and bring positive recognition to the State of Indiana.

### ➤ **REALISM OF THE COMMERCIALIZATION PLAN**

This project should be focused on commercialization and demonstrate a realistic commercialization plan. The commercialization plan and business model must articulate the financial and technical resources and infrastructure needed to fully commercialize the technology. Competitive technologies and organizations should have been discussed and their threats identified and addressed.

### ➤ **SIGNIFICANCE AND MATURITY OF THE TECHNOLOGY**

The relationship between current state of your technology development and the requirements for commercial activity will be considered. The identification of critical technology milestones that must be met to achieve your commercialization goals as well as corresponding financial milestones will be examined.

### ➤ **TEAM QUALIFICATIONS AND EXPERIENCE**

The proposed team must have demonstrated experience and capabilities commensurate with the project's technical as well as business goals. The team should have the necessary facilities, equipment, and access to resources to perform the proposed work.

### ➤ **REALISM OF BUDGET**

The proposal should have a through budget that is logically developed relative to the scope of work proposed. All significant costs should be included on the supplied budget format and explained in the narrative of the proposal.



➤ **CONSISTENCY WITH THE INTENT OF THE ISCEP**

The proposal should offer a project that is consistent with the intent and specific goals of the ISCEP and the IEDC SBIR/STTR Initiative.

➤ **EVALUATION OF PAST GRANTS WITH THE IEDC**

Entities with previous IEDC awards that are not current with regard to financial or technical reporting requirements, or that have not achieved their technical or business goals, will be disqualified from making new submissions to the IEDC.

**REVIEW STAGE 3 – PRESENTATION:**

Applicants proceeding through the first two stages of review will be invited to present a briefing to the above-described ISCEP review panel for final consideration. Questions to be answered at the briefing are:

- Is this a promising/significant technology?
- Is the commercialization plan logical?
- What is the likelihood of success?
- Are the applicants capable?
- Are there clear performance milestones? What are they?
- How does the technology meet a market need?
- What is the scalability of the Business/Economic Impact?
- Is additional capital required to achieve profitability?

If at any stage during the review process the applicant does not proceed to the next review level, a formal notification will be sent to the applicant. This notification will provide the applicant with feedback on how to strengthen any future submissions.

**IMPORTANT POINT REGARDING THE REVIEW PROCESS:**

*Job creation is a significant driver of ISCEP award activities. The intended commercial development of your technology and its resulting economic impact must be convincing and fully addressed. It must be clear that if overall project activities succeed as planned, significant near- and far-term hiring will take place in Indiana.*

## **CONFIDENTIALITY AND CONFLICTS OF INTEREST:**

The ISCEP utilizes confidential peer review. Reviewers who are not IEDC staff members complete confidentiality and conflicts-of-interest agreements with the IEDC prior to being provided access to applicant materials. SBIR and 21<sup>st</sup> Century Fund staff are bound by statutory confidentiality requirements.

Proposal and review materials have been designated as confidential by the IEDC Board, and are protected from public release. However, project abstracts, provided by applicants during the course of the awards process, ARE public. Thus, it is important to avoid discussing confidential information in that abstract. Lists of applicant principal investigator, applicant organization and location, project title (and abstract), and amount requested will be publicly available on the IEDC's website. If an award is made, any partner institutions are also listed in public tabulations.

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## **POST-AWARD PROCEDURES:**

### Grant Agreements:

If a proposal receives all the necessary approvals described in the Review Process above, the applicant will enter into a grant agreement with the IEDC. In order to ensure that the grant is invested in Indiana and applicants receive due incentive to grow their businesses in Indiana, the awards contain conditions relating to repayment of grant funds in certain circumstances. The following summary of the material provisions contained in the grant agreement is for informational purposes only. The final terms of an applicant's grant will be as set forth in the definitive grant agreement between the applicant and the IEDC. Upon execution of the grant agreement, the applicant is referred to as the grantee. Highlighted terms used below are defined in the form grant agreement, a copy of which will be supplied to the applicant upon request.

Repayment of the grant amount multiplied by two (2) will be required by the grantee as a result of the following events occurring at any time within ten (10) years of the end of the project term:

- Movement of the project outside the State of Indiana.

- Movement or establishment of any business operation resulting from the project (other than clinical trials, collaborations or licensing arrangements with third parties) outside of the State of Indiana.
- Payment of more than fifty percent (50%) of the total amount of all salaries, wages and benefits to persons other than full-time residents of the State of Indiana.
- Misstatement of material fact in materials submitted to the IEDC.
- Default under the terms and conditions of the agreement.

In addition, in the event the grantee experiences a successful exit **Transaction**, the IEDC will have the ability to receive a return based on the calculated value of a defined **Invested Capital Multiplier**.

A **Transaction** is defined as:

- The sale of all (or substantially all) of the grantee's assets; or
- A change of control.

The **Invested Capital Multiplier** is defined as:

- The value determined by dividing the **Net Transaction Proceeds** by total **Invested Capital**.
- Note: total Invested Capital includes all equity capital invested in grantee plus the amount of the ISCEP award.

The value of the Invested Capital Multiplier determines the return payment made to the IEDC by the grantee under the following Transaction scenarios:

- If the Invested Capital Multiplier is less than three (3), the grantee is not required to remit a payment to the IEDC.
- If the Invested Capital Multiplier falls within the range of three (3) to ten (10) the grantee will pay to the IEDC an amount equal to all previous project funds disbursed by the IEDC multiplied by fifty percent (50%) of the Invested Capital Multiplier.
- If the Invested Capital Multiplier is greater than ten (10), the grantee will pay to the IEDC an amount equal to all previous project funds disbursed by the IEDC multiplied by five (5).

Thus, the IEDC does not receive a return from a Transaction unless the grantee first earns a return of at least 3x on its invested capital. Additionally, any relative rate of return realized by the IEDC will always be at least half of that realized by the grantee's equity investors. Finally, the IEDC is capped at receiving a maximum return of 5x of its awarded amount.

The purpose of these reimbursement provisions is to:

- (1) Encourage grantees to remain in-state and contribute to Indiana's ongoing economic development; and
- (2) Replenish the 21st Century Fund through highly successful grantees.

The foregoing provisions represent a fundamental component of the ISCEP grant agreement. As such, they are generally not subject to negotiation. ***It is assumed that applicants have reviewed and accepted these terms when filing a proposal pursuant to this RFP.*** Thus, it is important to raise any issues with these standard terms and conditions in writing with IEDC staff prior to or simultaneously with submission of a proposal for consideration.

## **OTHER RELATED INITIATIVES SUPPORTED BY THE IEDC:**

**21st Century Fund:** Indiana's 21<sup>st</sup> Century Research and Technology Fund was created by the General Assembly in 1999 with the intention to stimulate the transfer of research and technology into marketable products and to diversify Indiana's economy by focusing investment in biomedical research and biotechnology, information technology, and other high technology industry clusters requiring high skill, high wage employees. The Fund encourages an environment of innovation and cooperation among universities and businesses to promote research activity, and to increase the capacity of Indiana institutions of higher education, Indiana businesses, and Indiana nonprofit organizations to compete successfully for Federal or private research and development funding. **CONTACT: LINDA PETERSON-ROE**, Indiana Economic Development Corporation Indiana 21<sup>st</sup> Century Research and Technology Fund, One North Capitol Avenue, Suite 900, Indianapolis, Indiana 46204, [lpeterson-roe@iedc.in.gov](mailto:lpeterson-roe@iedc.in.gov), 317-234-4652, <http://www.21fund.org>

**Small Business Development Center:** The Indiana Small Business Development Center (ISBDC) is a state-based organization offering a wealth of free and low cost information, management counseling, and educational services designed to support Indiana small business owners and potential entrepreneurs. Their mission is to help Indiana business grow and create new jobs within the state. You can find more information about the ISBDC at <http://www.isbdc.org/>.

**Venture Capital Investment Tax Credit:** The Venture Credit Investment Tax Credit (VCI) program stimulates increased access to capital for fast growing Indiana companies by providing individual and corporate investors an additional incentive to invest in early stage firms. Investors who provide qualified debt or equity capital to Indiana companies receive a credit

against their Indiana income tax liability. This 20 percent credit is available to any taxpayer who is an individual or entity that has any state tax liability. CONTACT: LEE ROBINSON, Indiana Economic Development Corporation, One North Capitol, Suite 700, Indianapolis, IN 46204, lrobinson@iedc.in.gov, 317-233-3638, <http://www.in.gov/iedc/incentives/venture>.

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## INTERESTED IN APPLYING TO THE ISCEP OR WANT MORE INFO?

### Contact:

#### **BROOKE PYNE**

Indiana Economic Development Corporation  
SBIR/STTR Program Office

32 E. Main St.  
Bloomfield, IN 47424  
bpyne@iedc.in.gov  
t. 812-384-3078  
c. 812-381-0350  
f. 812-384-3487

Web: <http://www.in.gov/iedc/sbir.htm>



Indiana Economic  
Development Corporation

# Request For Proposals

Indiana SBIR/STTR  
Commercialization  
Enhancement  
Program - ISCEP



## ISCEP 2009-1 Request for Proposals Application Information Page

### APPLICANT INFO:

<i>Applicant:</i>			
<i>Address:</i>			
<i>City:</i>		<i>State:</i>	<i>ZIP</i>
<i>County:</i>			
<i>Phone:</i>	<i>Fax:</i>	<i>E-Mail:</i>	
<i>Business Structure:</i>			
<i>Point of Contact:</i>			
<i>Are you Registered with the State of Indiana?</i>		<i>Yes</i>	<i>No</i>
<i>Please Provide State ID Number:</i>			
<i>Federal ID #:</i>			
<i>Federal Reporting Requirements (Due Dates):</i>			

### PROJECT SPECIFICS:

<i>Project Title:</i>			
<i>SBIR or STTR:</i>		<i>Phase II Awarding Agency:</i>	
<i>ISCEP Request:</i>	\$	<i>Duration:</i>	
<i>Partners involved in Project:</i>			
<i>Principal Investors:</i>			
<i>Project Abstract (for release):</i>			





**HISTORY:**

<i>Current # of Employees:</i>			
<i>Projected Job Growth:</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>
<i>Projected Revenue Growth:</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>
<i>Relevant Prior Grants:</i>			
<i>Have you ever received any other IEDC Incentives?</i>			
<i>If Yes, Please List:</i>			
<i>Private Sector Investments made to Company to date (\$ amount, source):</i>			
<i>Private Sector Investments sought by Company to date (\$ amount, source):</i>			

**SIGNATURE:**

\_\_\_\_\_  
Name and title of Authorizing

By signing this form I certify that this proposal does not contain any false or misleading information or any misrepresentation of facts contained therein and, to the best of my knowledge the information presented is true, accurate and correct. I authorize the IEDC to verify the information presented in this proposal as necessary for the evaluation or grant making process.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

*For IEDC use only:*

<i>Date Received:</i>	<i>Proposal #:</i>
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**ISCEP 2009-1 Request for Proposal  
Budget Summary Form**

	<i>Lead Applicant</i>	<i>Sub-awards</i>	<i>Total State Funds</i>
<i>Personnel/Fringe</i>	\$	\$	\$
<i>Equipment</i>	\$	\$	\$
<i>Supplies</i>	\$	\$	\$
<i>Sub-awards less than \$10,000</i>	\$	<i>X</i>	\$
<i>Travel</i>	\$	\$	\$
<i>Other (Specify)</i>	\$	\$	\$
<i>Total Direct</i>	\$	\$	\$
<i>Grant Total</i>	\$	\$	\$



Substitute Form  
State Form 23743(R 07/01)  
Approved by State Board of Accounts 2001  
Approved by Auditor of State 2001

## Taxpayer Identification Number Request

State of Indiana

**W-9**

**DO NOT send to IRS**

Print or Type		Return to address below
<b>Legal Name</b> (OWNER OF THE EIN OR SSN AS NAME APPEARS ON IRS OR SSN RECORDS) DO NOT ENTER THE BUSINESS NAME OF A SOLE PROPRIETORSHIP ON THIS LINE		
<b>Trade Name</b> Complete only if doing business as (D/B/A)		
<b>Remit Address</b>		
<b>Purchase Order Address- Optional</b>		
Check legal entity type and enter 9 digit taxpayer Identification Number (TIN) below. (SSN = Social Security Number, EIN = Employer Identification Number)		SSN or EIN must be for legal name above.
<input type="checkbox"/> <b>Individual</b> (Individual's SSN) _____		
<input type="checkbox"/> <b>Sole Proprietorship</b> (Owner's SSN or Business EIN) SSN _____ EIN _____		
<input type="checkbox"/> <b>Partnership</b> <input type="checkbox"/> General <input type="checkbox"/> Limited (Partnership's EIN) _____		
<input type="checkbox"/> <b>Estate / Trust</b> (Legal Entity's EIN) _____ Note: Show the name and number of the legal trust, or estate, not personal representatives.		
<input type="checkbox"/> <b>Other</b> (Limited Liability Company, Joint Venture, Club, etc) (Entity's EIN) _____		
<input type="checkbox"/> <b>Corporation</b> Do you provide legal or medical services? <input type="checkbox"/> Yes <input type="checkbox"/> No (Corp's EIN) _____		
<input type="checkbox"/> <b>Government</b> (or Government operated entity) (Entity's EIN) _____		
<input type="checkbox"/> <b>Organization Exempt from Tax under Section 501(a)</b> (Org's EIN) _____ Do you provide medical services? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<input type="checkbox"/> Check here if you do not have a SSN or EIN but have applied for one.		

Under penalties of perjury, I certify that:

- (1) The number listed on this form is my correct Taxpayer Identification Number (or I am waiting for a number to be issued to me) AND
- (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends or (c) the IRS has notified me that I am no longer subject to backup withholding (does not apply to real estate transactions, mortgage interest paid, and acquisition or abandonment of secured property, contribution to an individual retirement arrangement (IRA), and payments other than interest and dividends.)

CERTIFICATION INSTRUCTIONS - You must cross out item (2) above if you have been notified by the IRS that you are currently subject to backup withholding because of under reporting interest or dividends on your tax return.

**THE IRS DOES NOT REQUIRE YOUR CONSENT TO ANY PROVISION OF THIS DOCUMENT OTHER THAN THE CERTIFICATIONS REQUIRED TO AVOID BACKUP WITHHOLDING.**

I am a U.S. person (including a U.S. resident alien).

NAME (Print or Type) \_\_\_\_\_ TITLE \_\_\_\_\_  
AUTHORIZED SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_ PHONE \_\_\_\_\_

Agency \_\_\_\_\_ Agency use only 1099 ☐ Yes ☐ No Approved by: \_\_\_\_\_



## REQUEST FOR TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION

**Purpose of form:** We are required to file an information return with the IRS and must get your correct taxpayer identification number (TIN) to report our payments to you.

Use Form W-9 on the reverse side, if you are a U.S. person (including a U.S. resident alien), to give us your correct TIN and, when applicable to:

- 1 Certify the TIN you are giving is correct.
- 2 Certify you are not subject to backup withholding, or
- 3 Claim exemption from backup withholding if you are an exempt payee.

If you do not provide us with the information, your payments may be subject to 31% Federal income tax backup withholding. Also, if you do not provide us with this information, you may be subject to a \$50 penalty imposed by the Internal Revenue Service per I.R.C. 6723.

Federal law on backup withholding preempts any state and local law remedies, such as any rights to a mechanic's lien. If you do not furnish a valid TIN, or if you are subject to backup withholding, the payer is required to withhold 31% of its payment to you. Backup withholding is not a failure to pay you. It is an advance tax payment. You should report all backup withholding as a credit for taxes paid on your Federal income tax return.

**Specific Instructions:** Enter your legal name on that line. Your legal name is the one that appears on your Social Security Card or your Employer Identification Number if a business. If you are a sole proprietor, then your legal name is the business owner's name. If you have a "doing business as" (d/b/a) name, enter on the trade name line. Enter your remit address on the next line, and if you have a separate address for purchase orders enter that address on the appropriate line.

Next select the organization type for your name, check the box, and record the appropriate taxpayer identification number (TIN) in the space provided. Notice that individuals and sole proprietors are the only types with a social security number. If you are a corporation or an exempt 501(a) organization, you must answer yes or no on legal and medical services. If you are a sole proprietor you must show the business owner's name in the legal name box and the business name in the trade name box. You cannot use only the business name. For the TIN, you may use either the individual's SSN or the employer identification number (EIN) of the business. However, the IRS prefers that you show the SSN.

Finally, complete the certification section, sign and date the form.

If you are a foreign person, use the appropriate Form W-8.

☐ **Add Deposit**
☐ **Change Deposit**
☐ **Stop Deposit**

State Form 47551 (2/96)  
 Approved by State Board of Accounts 09/1997



# STATE OF INDIANA AUTOMATED DIRECT DEPOSIT AUTHORIZATION AGREEMENT Name of Vendor/Claimant who prepared this Request Work Number: \_\_\_\_\_ Name: \_\_\_\_\_ Home Number: \_\_\_\_\_

**Instructions:**

- 1 Requestor will complete first section and have their bank/credit union complete Section 2.
- 2 The bank/credit union will complete Section 2 and return to the requestor.
- 3 Requestor will file completed form with Auditor of State, 200 West Washington St., Room 240, Indianapolis, IN 46204-2728
- 4 Requestor and depository should retain a copy. Additional blank copies are available from Auditor of State. Phone: (317) 232-3300

## SECTION 1: REQUEST AND AUTHORIZATION

Vendor / Claimant as shown on the account	Federal I.D. Number / Social Security Number
Address (Number and Street, and/or P.O. Box No.)	City, State, and Zip Code (00000-0000)

requests, pursuant to IC 4-8.1-2-7(d), to receive payment(s) by means of an electronic transfer of funds, and authorizes the same under the terms stated herein.

It is understood by the undersigned Vendor/Claimant that, if approved, the Auditor of State may authorize the Treasurer of State to: (1) initiate credit (deposits) in various and varying amounts, by electronic transfer of funds through automated clearing house (ACH) processes, to the below listed checking (*demand*) or savings account designated in the depository named below, and, (2) *if necessary* , to initiate debit entries or adjustments *solely to correct any credit error resulting from a deposit/credit entry that was made under this authorization* . The Vendor/Claimant may revoke or cancel this request and authorization by notifying the Auditor of State in writing at least fifteen (15) days prior. Any change to the account or to a new financial institution will require a new State of Indiana Automated Direct Deposit Authorization Agreement. Failure to timely notify the Auditor of an account change will delay payment.

Name of Depository: \_\_\_\_\_

Type of Account:      ☐ **Checking (Demand)**      ☐ **Savings**

Depository Account Number: \_\_\_\_\_

\_\_\_\_\_, 20\_\_\_\_  
 Date

\_\_\_\_\_  
 Signature of Vendor/Claimant

## SECTION 2: DEPOSITORY'S APPROVAL

The above is satisfactory and the undersigned designated depository agrees to accept such automated deposits.

Name of Depository: \_\_\_\_\_ Phone: (    ) \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_  
 (Number and Street, and/or P.O. Box No.)

\_\_\_\_\_  
 (City, State, and Zip code (00000-00000))

\_\_\_\_\_, 20\_\_\_\_  
 Date

\_\_\_\_\_  
 Depository's Authorized Signature

\_\_\_\_\_  
 ABA Transit-Routing Number

\_\_\_\_\_  
 Title